



RTO Complaints and Appeals Policy

Category/ Business Group	Education Group
Published Externally (Yes/No)	Yes
Responsible Officer	Group Executive, UNSWIL
Contact Officer	Manager, Continuing Education and Testing
Approver	Chief Executive Officer
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Version	1

Policy Approval *(for signature)*

Responsible Officer	Policy Officer	Approver
Marc Weedon-Newstead	Emma Drummond	Rob Forage
Date: 7/04/2015	Date: 9/04/2015	Date: 9/04/2015



1 Background

The *National Vocational Education and Training Regulator Act 2011* establishes the VET Quality Framework, a system which ensures the integrity of nationally recognised qualifications. Included in the VET Quality Framework are the *Standards for Registered Training Organisations (RTOs) 2015*. UNSW Global must comply with these eight Standards as a condition of registration.

Standard 6 requires RTOs to implement a transparent complaints and appeals policy that enables Learners and clients to be informed of and to understand their rights, and the RTO's responsibilities under the Standards.

2 Purpose

This policy outlines the principles governing RTO related complaints and appeals at UNSW Global, and facilitates compliance with Standard 6.

3 Scope

3.1 Complaints

This policy manages and responds to allegations involving the conduct of:

- (a) UNSW Global, its trainers, assessors or other staff in delivering RTO training and assessments;
- (b) a third party providing services on UNSW Global's behalf, its trainers, assessors or other staff; or
- (c) a Learner of UNSW Global.

3.2 Appeals

This policy also manages requests for a review of decisions, including assessment decisions, made by UNSW Global or a third party providing services on its behalf.

4 Definitions

Australian Qualifications Framework (AQF) means the framework for regulated qualifications in the Australian education and training system, as agreed by the Commonwealth, State and Territory ministerial council with responsibility for higher education.

Learner means a person being trained and/or assessed by UNSW Global for the purpose of issuing AQF certification documentation.

5 Policy Statement (Standard 6)

UNSW Global ensures that complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively in accordance with Standard 6.

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5.1 How to make a complaint or appeal

Step 1: Complainants are encouraged to attempt to resolve the matter informally through discussion and negotiation. If the complainant is reluctant or unable to do so, the complaint is made to the Contact Officer (Manager, Continuing Education and Testing). The Contact Officer may ask for the complaint to be put in writing.



Step 2: If further investigation is required, the Contact Officer refers the complaint to the Responsible Officer (Group Executive, UNSWIL) for consideration.



Step 3: If the complaint remains unresolved, it is referred to UNSW Global's Chief Executive Officer for final consideration and a decision.



Step 4: Complaints which cannot be resolved internally may be referred to ASQA or the Overseas Student Ombudsman for independent review (see paragraph 5.4 below).

5.2 How UNSW Global will respond to your complaint or appeal

UNSW Global:

- (a) acknowledges all complaints and requests for an appeal within ten (10) business days of receipt;
- (b) aims to complete all complaints and appeals processes within a reasonable timeframe, which takes into consideration factors such as the Learner's enrolment in future subjects and/or courses;
- (c) regularly updates the complainant or appellant on the progress of their complaint or appeal; and
- (d) informs the complainant or appellant in writing if it considers that more than 60 calendar days will be required to process and finalise the complaint or appeal, including reasons why more than 60 calendar days are required.

5.3 How UNSW Global will decide your complaint or appeal

UNSW Global:

- (a) considers its policies, the applicable Conditions of Enrolment and the Standards when determining the outcome of a complaint or appeal; and



- (b) applies the principles of natural justice and procedural fairness at every stage of the complaints and appeals process.

5.4 Independent Review

If a complainant or appellant is unsatisfied with the outcome of their complaint or appeal they may seek review of UNSW Global's decision by referring their complaint or appeal to ASQA or the Overseas Student Ombudsman.

In most cases, the purpose of the independent review is to consider whether or not UNSW Global has followed its policies and procedures.

To find out whether to refer the complaint to ASQA or the Overseas Student Ombudsman, and to obtain information about how to make a complaint, visit ASQA's [website](#).

5.5 Records and Review

UNSW Global securely maintains records of all complaints and appeals and their outcomes. Only authorised individuals have access to complaints and appeals records.

UNSW Global aims to identify potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

6 Legal and Policy Framework

This policy is developed, approved and reviewed in accordance with the *National Vocational Education and Training Regulator Act 2011*, VET Quality Framework and associated legislative instruments.

6.1 Responsibilities

- (a) *Approver*
The Chief Executive Officer is responsible for the approval of this policy.
- (b) *Responsible Officer*
The Group Executive, UNSWIL is responsible for the dissemination, implementation and review of this policy.
- (c) *Contact Officer*
The Manager, Continuing Education and Testing is responsible for the day to day implementation of this policy and is the first point of contact for all enquiries that relate to this policy.
- (d) *Policy Administration and Compliance Officer*
The Policy Administration and Compliance Officer is responsible for the administration and publishing of this policy.
- (e) *Staff, Supervisors and Executives*
UNSW Global staff, supervisors and executives are responsible for assisting in the implementation of and adherence to this policy.



6.2 Review

This policy is due for review two years from its date of implementation or earlier if required by legislative or regulatory changes.

7 Linked Documentation

- (a) Trainee Handbook

8 Related Policies and Procedures

- (a) RTO Training and Assessment Policy
- (b) RTO Marketing and Information Policy
- (c) RTO Complaints and Appeals Procedure
- (d) RTO Governance and Administration Policy

9 Version History

Version Control	Date effective	Approved by	Amendment notes